



INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	09/827,613	
			Filing Date	April 6, 2001	
			First Named Inventor	Sprunk, Eric J.	
			Art Unit	2611	
			Examiner Name	Faile, Andrew I	
Sheet	1	of	1	Attorney Docket Number	018926-003140US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
MBD	AA	US-6,256,393 B1	07-03-2001	Safadi et al.	
	AB	US-			
	AC	US-			
	AD	US-			
	AE	US-			
	AF	US-			
	AG	US-			
	AH	US-			
	AI	US-			
	AJ	US-			

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ²
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
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	AL							<input type="checkbox"/>
	AM							<input type="checkbox"/>
	AN							<input type="checkbox"/>
	AO							<input type="checkbox"/>

NON PATENT LITERATURE DOCUMENTS			
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	AP		
	AQ		
	AR		
	AS		
	AT		

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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.



PTO/SB/08A (08-03)

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
		Application Number	09/827,613		
		Filing Date	April 8, 2001		
		First Named Inventor	Sprunk, Eric J.		
		Art Unit	2611		
		Examiner Name	Faile, Andrew I		
Sheet	1	of	1	Attorney Docket Number	018928-003140US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
MM	A1	US-5,912,972	08-15-1999	Barton	
	A2				

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ³
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
MM	B1	EPO	EP 0 752 786	A	01-08-1997			<input type="checkbox"/>
	B2	EPO	EP 0 948 019	A	09-29-1999			<input type="checkbox"/>
	B3	EPO	EP 1 222 814	A	07-17-2001		same as WO 01/28232	<input type="checkbox"/>
	B4	PCT	WO 98/33325	A2	07-30-1998			<input type="checkbox"/>
	B5	PCT	WO 99/39504	A	08-05-1999			<input type="checkbox"/>
	B6	PCT	WO 01/28232	A1	04-19-2001			<input type="checkbox"/>

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 1

Complete If Known

Application Number 09/827,613

Filing Date April 6, 2001

First Named Inventor Sprunk, Eric J.

Art Unit 2611

Examiner Name

Attorney Docket Number 018926-003140US

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U.S. PATENT DOCUMENTS

Examiner	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
WPD	AA	US-6,185,678	B1	02-06-2001	Arbaugh, et al.	
	AB	US-				
	AC	US-				
	AD	US-				
	AE	US-				
	AF	US-				
	AG	US-				
	AH	US-				
	AI	US-				
	AJ	US-				

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		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
	AK							
	AL							
	AM							
	AN							

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
WPD	AO	ARBAUGH, William A., et al., A Secure and Reliable Bootstrap Architecture, Proceedings of the IEEE, December 2, 1996, pp. 1-7.	
	AP		

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Mark R. R.

Date
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 1

Complete If Known

Application Number	09/827,613
Filing Date	April 6, 2001
First Named Inventor	Sprunk, Eric J.
Group Art Unit	2611
Examiner Name	
Attorney Docket Number	018926-003140US

U.S. PATENT DOCUMENTS						
Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
WFO	AA	5,857,020		Peterson, Jr.	01-05-1999	
	AB					
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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
WFO	AU	EP	0 601 500	A1	TestDrive Corp.	06-15-1994		
	AV	EP	0 878 796	A2	Kabushiki Kaisha Toshiba	11-18-1998		
	AW	PCT	WO 97/25798	A1	The Mitre Corp.	07-17-1997		
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 2

Complete if Known

Application Number	09/827,613
Filing Date	April 6, 2001
First Named Inventor	Sprunk, Eric J.
Group Art Unit	
Examiner Name	
Attorney Docket Number	018926-003140US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
WJG	AA	5,933,498		Schneck, et al.	08-03-1999	
	AB	6,314,409	B2	Schneck, et al.	11-06-2001	
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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	AU							
	AV							
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	AX							
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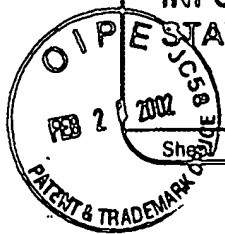
INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

Complete if Known

Application Number	09/827,613
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First Named Inventor	Sprunk, Eric J.
Group Art Unit	
Examiner Name	
Attorney Docket Number	018926-003140US



OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

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MRD	BC	GERALD HACKENBERG, <i>Computerviren: Vorbeugung und Bekämpfung</i> , 258 IT Informationstechnik, 32 (1990) Februar, no. 1, Siemens AG, Munchen-	✓
	BD	English translation of above Cite No. BC	
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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Filing Date	April 6, 2001
First Named Inventor	Sprunk, Eric J.
Group Art Unit	2611
Examiner Name	
Attorney Docket Number	018926-003140US

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T 2
WAD	BC	SCHNECK, PAUL B., <i>Persistent Access Control to Prevent Piracy of Digital Information</i> , Proceedings of the IEEE, Vol. 87, No. 7, July 1999, pp. 1239-1250.	
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#25.4.4, 9/24/02

FORM PTO-1449 (Modified)	Attorney Docket No.: 18926-003140US	Application No.: 09/827,613
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Applicant: Eric Sprunk	
	Filing April 6, 2001	Group: Unassigned

Reference Designation U.S. PATENT DOCUMENTS Page 1

Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If appropriate)
MM	AA	5,844,986	12/1/98	Davis	380	4
	AB	5,912,972	6/15/99	Barton	380	23
	AC	5,005,200	4/2/1991	Fischer	380	30
	AD	5,982,891	11/1999	Ginter et al.	380	4

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FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
NA	AE	EP 0 752 786 A1	08.01.1997	EPO	H04N	7/167
	AF	EP 0 909 094 A1	14/-4/1999	EPO	H04N	7/173
	AG	EP 0 914 001 A1	06.05.1999	EPO	H04N	7/16
	AH	EP 0 936 813 A1	18.08.1999	EPO	H04N	7/00
	AI	EP 0 946 019 A1	29.09.1999	EPO	H04L	9/32
	AJ	WO 98/55910	10.12.98	WIPO	G06F	
	AK	WO 98/56180	10.12.98	WIPO	H04N	7/167
	AL	WO 99/09743	25.02.99	WIPO	H04N	7/167
	AM	WO 99/30217	17.06.99	WIPO	G06F	1/00
	AN	WO 99/39504	05.08.99	WIPO	H04N	7/167
	AO	WO 99/53624	21.10.99	WIPO	H04B	1/69
	AP	WO 00/04727	27.01.00	WIPO	H04N	7/24

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

MM	AQ	Olin Sibert et al., "DigiBox: A Self-Protecting Container for Information Commerce," Proceedings of the First USENIX Workshop on Electronic Commerce, New York, July 1995.
	AR	InterTrust Technologies Corporation, "A Piece of the Tick. Supporting the Commercial Redistribution of Electronic Information through Value Chains," October 1998.
	AS	"Digital Consumer Electronics Handbook," McGraw-Hill, 1997, pp. 17.18-17.25.
	AT	"SentinelSuperPro," Rainbow Technologies. Retrieved from the Internet: http://sentinel.rainbow.com , pp. 1-2.
	AU	"iKey," Rainbow Technologies. Retrieved from the Internet: http://ikey.rainbow.com , pp. 1-2.
	AV	Monica Pawlan et al., "Signed Applets, Browsers, and File Access." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Signed/index.html , April 1998.
	AW	Monica Pawlan, "Cryptography: The Ancient Art of Secret Messages." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Crypto/index.html , Feb. 1998.
	AX	Monica Pawlan, "Is the Only Really Secure Computer a Disconnected Computer?" Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/ReallySecure/index.html , Jan. 1998.
	AY	Microsoft Corporation, "Microsoft Authenticode Technology. Ensuring Accountability and Authenticity for Software Components on the Internet," Redmond, VA, Oct. 1996.
	AZ	"Modern Cable Television Technology: Video, Voice, and Data Communications," Morgan Kaufmann Publishers, Inc., San Francisco, CA, 1999, pp. 743-751.
	BA	Dan S. Wallach et al., "Extensible Security Architectures for Java," BNS Document ID XP-002101681, 1997, pp. 1-26.
	BB	Charles Crichton et al., "When to trust mobile objects: access control in the Jini™ Software System," BNS Document ID XP-002155686, 1999. pp. 116-125.

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		Filing April 6, 2001	Group: Unassigned
<u>MP</u> /BC	"Building a Foundation of Trust in the PC," The Trusted Computing Platform Alliance, pp. 1-7 January 2000.		
EXAMINER	<i>Walter H. H.</i>	DATE CONSIDERED	<i>5/16/06</i>

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